

**U.S. DEPARTMENT OF ENERGY
NATIONAL NUCLEAR SECURITY ADMINISTRATION
NEVADA OPERATIONS OFFICE**

MANUAL

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**NNSA/NV OVERSIGHT
MANAGEMENT SYSTEM**



INITIATED BY:
Office of the Assistant Manager
for Technical Services

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INTRODUCTION

1. PURPOSE. To define the requirements and processes for: 1) National Nuclear Security Administration Nevada Operations Office (NNSA/NV) programmatic and technical self-assessments, 2) NNSA/NV oversight assessments of contractor/user organizations, and 3) NNSA/NV programmatic and technical Oversight, Feedback, and Continuous Improvement Program. The functions formerly covered by the NNSA/NV Business Management Oversight Program are excluded from this process. The use of this Manual will generate performance data for NNSA/NV's use in documenting the fulfillment of its stewardship responsibilities. The data will also be used to track and promote continuous improvement. NNSA/NV performs oversight of National Laboratory operations conducted under its purview and provides the NNSA Albuquerque Operations Office and the NNSA Oakland Operations Office with input concerning the safety performance of the laboratories. Responsibilities for laboratory safety performance are defined in the applicable Memoranda of Agreement.
2. SUMMARY. This Manual consists of three chapters that provide the requirements for implementing the NNSA/NV oversight activities. Chapter I establishes an NNSA/NV Self-Assessment Program that defines expectations for the review, evaluation, and improvement of the NNSA/NV federal processes, systems, programs, and management issues. Chapter II describes the requirements for the conduct of effective oversight of the contractor/user organizations' nonbusiness activities. Chapter III addresses the NNSA/NV Oversight, Feedback, and Continuous Improvement Program by which oversight information acquired from various sources will be reviewed and analyzed in a disciplined manner for identification, tracking, trending, and closure.
3. CANCELLATION. NV M 220.XA, DOE/NV OVERSIGHT MANAGEMENT SYSTEM, dated 8-22-00, and Changes thereto.
4. REQUIREMENTS.
 - a. Assistant Managers (AM) will establish the extent and frequency of all oversight activities. Office/Division Directors will schedule and document all oversight activities by frequency.
 - b. Assessment Data Tracking and Trending. The data entered into the NNSA/NV Oversight Tracking System (OTS) administered by the AM for Technical

Services (AMTS) will be utilized to provide management and staff with closure status, substantiation of trends, overall contractor/user performance perspective, etc.

- c. Standardized Oversight Form. The NV-113, "Assessments and Findings Data Entry Form" (Appendix A), will be used to document oversight activities. The completed forms will be the source for entering assessment data into the OTS. Use of this form does not preclude use of other data collection mechanisms and forms to acquire the information.
 - d. Management System Steering Panel (MSSP). An MSSP consisting of members appointed by the NNSA/NV Executive Council will periodically (at least annually) review summarized information derived from OTS. The MSSP will provide the NNSA/NV Executive Council, chaired by the Manager, closure status, important trends, and recommendations regarding future oversight priorities.
 - e. Graded Approach. The degree of oversight and magnitude of resources expended for a particular oversight activity will be tailored to be commensurate with the relative importance of the activity with regard to mission accomplishment, programmatic importance, safety, environmental compliance, safeguards and security, magnitude of hazard, financial impact, and/or other facility-specific requirements.
 - f. Perception of Cause. NNSA/NV expects the organization performing the work to analyze deficiencies for perceived "Root Cause" in accordance with DOE-NE-STD-1004-92, when appropriate. However, on a trial basis, NNSA/NV has decided to encourage NNSA/NV Assessors to evaluate any deficient findings identified through their oversight efforts for their "perception of cause." Appendix A, "Instructions for Completing the NNSA/NV Assessments and Findings Data Entry Form," provides a description of the seven cause categories to be utilized.
5. CONTACT. Questions concerning this Manual will be addressed to the Office of AMTS.



Kathleen A. Carlson
Manager

CHAPTER I

NNSA/NV SELF-ASSESSMENT PROGRAM

1. **OBJECTIVE.** This chapter establishes an NNSA/NV Self-Assessment Program that defines expectations for the review, evaluation, and improvements of the NNSA/NV processes, systems, programs, and management issues.
2. **APPLICABILITY.** This chapter applies to all NNSA/NV management and staff personnel engaged in oversight of all programmatic and technical work performed under NNSA/NV's purview as defined in NV M 111.XA, FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL.
3. **REQUIREMENTS.** NV M 111.XA, FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL, establishes the key oversight roles and responsibilities for NNSA/NV and the implementation of the Integrated Safety Management (ISM) five core functions. The conduct of NNSA/NV self-assessments is identified as a requirement. To fulfill this requirement, NNSA/NV has defined two types of self-assessments.
 - a. **Management Self-Assessment.** The AMs will assess their own management processes for planning, organizational interfaces (internal and external to NNSA/NV), integration of management systems (e.g., safety, quality project), use of performance metrics, training and qualifications, and supervisory oversight and support. Management assessment is an introspective self-analysis utilized to determine whether the management infrastructure is properly focused on achieving desired results. Guidance for conducting management assessments is found in DOE G 414.1-1A, MANAGEMENT ASSESSMENT AND INDEPENDENT ASSESSMENT GUIDE.
 - b. **Independent Self-Assessment.** Independent self-assessments will be conducted, when approved by the Manager, based upon recommendations by the MSSP. AMs will identify areas requiring independent assessments to the MSSP. The conduct of an independent self-assessment is normally on a "for-cause" basis and will be under the cognizance of the MSSP. The assessment team will consist of independent federal staff appointed by the MSSP. Guidance for conducting independent self-assessments is found in DOE G 414.1-1A, MANAGEMENT ASSESSMENT AND INDEPENDENT ASSESSMENT GUIDE. The purpose of this type of assessment is to evaluate

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the performance of NNSA/NV work processes with regards to requirements, expectations of customers, and efforts required to achieve the mission and goals of NNSA/NV.

4. RESPONSIBILITIES.

a. Manager.

- (1) Approves the conduct of an independent self-assessment including findings and corrective actions associated with office wide independent self-assessments.
- (2) Reviews Management Assessment Plans and schedules as provided by the MSSP.

b. Management System Steering Panel.

- (1) Uses self-assessment (internal and management) data, Lessons Learned, Occurrence Reporting and Processing System (ORPS), NNSA/NV OTS, and recommendations from the AMs for analysis to identify NNSA/NV processes, systems, programs, and management issues that may require a management/independent self-assessment.
- (2) Ensures the continued priority of safety management integration within work conducted under the purview of NNSA/NV.
- (3) Monitors the conduct of NNSA/NV's internal and management assessment efforts.
- (4) Recommends processes or programs that may be candidates for internal or management assessment and provides the Management Assessment Plan to the Manager for review.
- (5) Ensures AMs implement a Management Assessment Program.

c. Assistant Managers.

- (1) Implement a Management Assessment Program within their organizations.

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- (2) Approve divisional plans, consolidate the plans, and provide the MSSP with the consolidated plan.
- (3) Determine disposition of management assessment team recommendations.
- (4) Propose processes/programs/systems requiring management self-assessment to the MSSP on a quarterly basis.

d. Office/Division Directors.

- (1) Develop divisional Management Self-Assessment Plans and submit to their AM for approval on a quarterly basis. Validate the Management Self-Assessment Plans and ensure the assessments are conducted in expected areas.
- (2) Identify work processes/programs/systems assigned to their functional area and establish a quarterly Management Self-Assessment Plan and schedule to assess implementation and effectiveness in these areas.
- (3) Management self-assessment scheduling will be commensurate with the hazards, status, and importance of the program, system, or work process.
- (4) Assign an employee, or groups of employees, under his/her direction to perform the management self-assessment. The employee responsible for the processes/programs/systems being assessed will not be part of the assessment team.
- (5) Approve recommendations from management self-assessments.

- e. NNSA/NV Employees. All employees, including NNSA/NV management, will perform assessments of their own work to determine whether they are achieving quality and to identify ways to improve their work processes. Documenting these assessments is not required, but is encouraged.

5. REFERENCES.

- a. DOE O 414.1A, QUALITY ASSURANCE, dated 9-29-99, and Changes thereto.

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- b. DOE G 414.1-1A, MANAGEMENT AND ASSESSMENT AND INDEPENDENT GUIDE, dated 5-31-01.
 - c. DOE G 450.4-1B, INTEGRATED SAFETY MANAGEMENT SYSTEM GUIDE, dated 3-1-01.
 - d. DOE P 450.5, LINE ENVIRONMENT, SAFETY, AND HEALTH OVERSIGHT, dated 6-26-97.
 - e. NV M 111.XA, FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL, dated 9-7-00.
 - f. NV P 450.4B, SAFETY MANAGEMENT SYSTEM POLICY, dated 8-24-00.
6. PROCESSES. All management and independent assessment findings will be recorded on an NV-113, "Assessments and Findings Data Entry Form" (Appendix A); evaluated for potential risk in accordance with Appendix C; entered into the OTS in accordance with Appendix D; and tracked and closed with appropriate documentation.

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CHAPTER II

NNSA/NV OVERSIGHT OF CONTRACTOR/USER WORK PERFORMANCE/ISM

1. OBJECTIVE. This chapter defines requirements for the conduct of effective NNSA/NV assessments of contractors and users of U.S. Department of Energy (DOE) and NNSA facilities in the performance of missions and environment, safety, and health activities.
2. APPLICABILITY.
 - a. This chapter applies to all NNSA/NV management and staff personnel engaged in overseeing all work not subject to the former Business Management Oversight Process and performed under NNSA/NV's purview as required in NV M 111.XA, FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL.
 - b. The requirements of this chapter will be applicable to all NNSA/NV contractor/user organizations as set forth in the Contractor Requirements Document (CRD), Attachment 1.
3. REQUIREMENTS. NNSA/NV will maintain an effective and documented work performance and safety oversight program designed to assist management with systems evaluation and a continuous improvement process.
 - a. Oversight Planning. As directed by the AM, each Office/Division Director will develop a divisional Validation/Assessment (V/A) Plan to address Real Estate/Operations Permits (REOP) and functional areas within their purview. Changes to approved divisional V/A Plans will be documented in a formal change control process and approved by the programmatic AM. At the discretion of the AM, approval authority may be delegated to the Office/Division Directors.
 - b. Operational Awareness.
 - (1) Maintain operational and performance awareness through periodic walk-throughs of activities, facilities, and real estate covered by the assigned REOPs.

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- (2) Base the frequency and magnitude of oversight activities on the hazards and risks inherent in assigned work scopes, assessment results, Lessons Learned, emergent issues, etc.

c. Validations/Assessments. Assessors will:

- (1) Utilize the V/A Plan format provided in Appendix E.
- (2) Plan and perform assessments in accordance with agreed to defined criteria, and in consideration of any applicable requirements, where an adequate, documented Self-Assessment Program that covers the area of interest does not exist.
- (3) Plan and perform formal and periodic validations where the contractor/user has an adequate, documented Self-Assessment Program that covers the area of interest.
- (4) Consider, as a minimum, the ISM process, work scope, authorization basis documentation, Work Smart Standards, work control process, formality of operations, quality assurance, Lessons Learned, Facility Representative (FR) input, and emergent issues in planning oversight activities.
- (5) A graded approach based on the hazards and risks inherent in the assigned REOPs will be used to prioritize all operational awareness and oversight activities.

d. Findings. Assessors will:

- (1) Evaluate findings in accordance with Appendix C and submit to appropriate line management for review and/or resolution.
- (2) Assign a Risk Assessment Value (RAV) of zero if no adverse findings (i.e., neutral observations, noteworthy practices, etc.) are identified.

e. Documentation and Communications.

- (1) The cognizant Program Manager, Project Manager, Facility Manager (P/P/FM), and/or FR will be notified prior to any oversight activity that relates to their assigned REOPs or functions.

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- (2) Utilize the NV-113, "Assessments and Findings Data Entry Form" (Appendix A), to document results from V/As, verifications, and walk-throughs.
 - (3) The NV-113 will then be forwarded to the applicable Office/Division Director for review and the OTS Coordinator for entry into the OTS database (Appendix D).
- f. Findings With a RAV Less Than 100 or any finding deemed appropriate by a Office/Division Director.
 - (1) If during the course of any oversight activity, the Assessor identifies areas of concern, these concerns will be documented as findings on the NV-113 form. The Assessor will assign a RAV score to each finding per Appendix C and communicate findings to the appropriate programmatic Office/Division Director.
 - (2) The Office/Division Director will review the RAV score to ensure accuracy and compliance with the Risk Estimation Process and return it to the Assessor. The Assessor will then forward the information to the assessed organization, the FR, and the OTS Coordinator. Formal follow-up is at the discretion of the Office/Division Director and usually not required. However, all findings will be entered into the OTS database, to be used for identifying a trend or emerging issues.
- g. Findings With a RAV Greater Than or Equal to 100. Transmittal to contractor/user:
 - (1) The Office/Division Director communicates the finding(s) to the programmatic AM.
 - (2) The AM, through formal correspondence, will require the contractor/user to perform a root cause analysis and submit a Corrective Action Plan for approval to the Office/Division Director. The P/P/FM and/or FR, and Assessor will be included on concurrence for such correspondence if the finding(s) relate to their assigned REOPs or functions.
 - (3) The responsible Office/Division Director will review and concur with the contractor/user Corrective Action Plan related to their assigned REOPs or functions.

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- (4) The P/P/FM and/or FR will verify implementation of the contractor/user corrective actions taken in response to each finding with a RAV greater than or equal to 100, and/or any finding deemed appropriate by an Office/Division Director.
- (5) Successful implementation of the corrective actions will be communicated to the AM who will then formally communicate closure to the assessed organization and courtesy copy to the OTS Coordinator and Records Management.
- (6) Assessors will track findings to closure.

h. Records Maintenance.

- (1) Assessor will maintain original NV-113 input forms and supporting documentation for each V/A, verification, and those walk-throughs that generate a finding in official NNSA/NV files.
- (2) Assessor will maintain all correspondence associated with the closure of findings.

i. Data Analysis. Utilize OTS data for trending, emerging issues, and follow-up activities.

4. RESPONSIBILITIES.

a. Assistant Managers.

- (1) Ensure implementation of the NNSA/NV Oversight Management System and maintain operational awareness through periodic walk-throughs as appropriate.
- (2) Approve V/A Plans.
- (3) Ensure changes to divisional V/A Plans are documented in a formal change control process.
- (4) Appoint an OTS Coordinator to input data collected by Assessors.
- (5) Consider OTS data in contractor/user performance evaluations.

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- (6) Provide a technical support representative to analyze assessment data for trends and Lessons Learned.
- (7) Ensure that findings derived from external assessments (e.g., DOE and NNSA, Inspector General, General Accounting Office, etc.) are assigned to an NNSA/NV employee and processed in accordance with the requirements of this Manual.

b. AM for Technical Services.

- (1) Provides an NNSA/NV OTS Administrator and an alternate to maintain the OTS. This individual also serves as the AMTS OTS Coordinator.
- (2) Develops and implements an OTS change control process.

c. Office/Division Directors.

- (1) Ensure implementation, maintenance, and documentation of the NNSA/NV Oversight Management System, and maintain operational awareness through periodic walk-throughs as appropriate.
- (2) Ensure employees are knowledgeable of their responsibilities as P/P/FMs, FRs, Task Managers (TM), and Subject Matter Experts (SME).
- (3) Ensure employees are fulfilling their oversight responsibilities.
- (4) Ensure the coordination of requests from other organizations to support V/A and verification efforts.
- (5) Ensure P/P/FMs, FRs, TMs, and SMEs develop, maintain, and document V/A Plans.
- (6) Review and, if not delegated, approve oversight documentation; e.g., RAV scores, Corrective Action Plans.
- (7) Utilize OTS, ORPS, and Lessons Learned data to identify issues/trends and support performance evaluations; those that are specific to a REOP will be communicated to the assigned P/P/FM.

d. P/P/FMs With Assigned REOPs.

- (1) Maintain operational and performance awareness through periodic walk-throughs of activities, facilities, and real estate covered by the REOPs.
- (2) Develop, maintain, and implement a documented V/A Plan for each assigned REOP utilizing support from the assigned FR, P/P/FM, and appropriate SMEs. Request support from other NNSA/NV elements as needed and communicate V/A Plan with the Assessee.
- (3) Ensure compliance with the V/A Plan for each assigned REOP in accordance with this Manual.
- (4) Coordinate the assessment schedules of subject matter support personnel with the assigned FR and contractor/user interviewees for assigned REOPs, as needed.
- (5) Review and, if delegated authority, recommend approval of contractor/user Corrective Action Plans in response to findings with a RAV equal to or greater than 100 and coordinate with the original Assessor to verify closure.
- (6) Utilize OTS, ORPS, and Lessons Learned data to identify issues/trends and support performance evaluations.

e. P/P/FMs Without Assigned REOPs.

- (1) Maintain operational and performance awareness through periodic walk-throughs of activities, facilities, and real estate covered by their project/functional activities.
- (2) Develop, maintain, and implement a documented V/A Plan for project/functional activities utilizing support from the assigned FR, P/P/FM, and appropriate SMEs. Request support from other NNSA/NV elements as needed and communicate V/A Plan with the Assessee.
- (3) Ensure compliance with the documented V/A Plan for project/functional activities in accordance with this Manual.

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- (4) Coordinate the assessment schedules of subject matter support personnel with the assigned FR and contractor/user interviewees for project/functional activities, as needed.
- (5) Review and, if delegated authority, recommend approval of contractor/user Corrective Action Plans in response to findings with a RAV equal to or greater than 100 and coordinate with the original Assessor to verify closure.
- (6) Utilize OTS, ORPS, and Lessons Learned data to identify issues/trends and support performance evaluations.

f. Facility Representatives.

- (1) Maintain familiarity of assigned REOPs and authorization basis documentation for their assigned facilities.
- (2) Maintain operational and performance awareness through walk-throughs of activities, facilities, and real estate.
- (3) Support P/P/FMs in the development, maintenance, and implementation of their V/A Plan for each assigned REOP.
- (4) Keep the appropriate P/P/FM informed of any findings relevant to their assigned REOPs, including the Balance of Plant.
- (5) Utilize ORPS, Lessons Learned, and OTS data to identify issues/trends and support performance evaluations; those that are specific to a REOP will be communicated to the assigned P/P/FM.
- (6) If identified issues/trends are not being addressed by the assigned P/P/FM, the FR should notify the cognizant Office/Division Director.
- (7) Plan and perform assessments, independent of the V/A Plan, if there is sufficient cause for concern; keep the appropriate P/P/FM informed of any findings.

g. FMs/SMEs.

- (1) Support program/project and other FMs in their development, maintenance, and implementation of a documented V/A Plan.
- (2) Ensure compliance with P/P/FM documented V/A Plans in accordance with this Manual.
- (3) Perform assessments of your assigned function in accordance with this Manual.
- (4) Utilize OTS, ORPS, and Lessons Learned data as appropriate to identify issues/trends and support performance evaluations.
- (5) Keep the appropriate P/P/FM and/or FR informed of any findings, issues, or trends as they relate to assigned REOPs, including the Balance of Plant.

h. OTS Administrator.

- (1) Administers the OTS database system to meet NNSA/NV needs.
- (2) Coordinates required changes to the OTS database with the NNSA/NV computer support contractor.
- (3) Provides guidance to OTS Coordinators, as required.
- (4) Summarizes and provides OTS information requested by the MSSP.
- (5) Summarizes and reports closure status for all oversight findings with RAV equal to or greater than 100 for AMTS.
- (6) Enters data from the NV-113, "Assessments and Findings Data Entry Form," into the OTS (Appendix D) for oversight activities performed by AMTS organizations.

i. OTS Coordinator.

- (1) Enters data from the NV-113, "Assessments and Findings Data Entry Form," into the OTS (Appendix D).

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- (2) Provides closure status, tracking, trending, and emergent issue information to the cognizant Office/Division Director, P/P/FM, as requested.
- (3) Summarizes and reports closure status for respective organizations.

5. REFERENCES.

- a. DOE G 414.1-1A, MANAGEMENT ASSESSMENT AND INDEPENDENT GUIDE, dated 5-31-01.
- b. DOE P 450.5, LINE ENVIRONMENT, SAFETY, AND HEALTH OVERSIGHT, dated 6-26-97.
- c. NV M 111.XA, FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL.
- d. DOE-STD-1063-2000, *Facility Representatives*.

6. DEFINITIONS.

- a. Assessment. A planned and documented review, evaluation, inspection, audit, surveillance by an Assessor documenting whether items, processes, systems, or services meet specified requirements and whether the assessed organization is adequately performing assigned work. Assessments are performed utilizing defined criteria developed by the Assessor.
- b. Assessor. Term used to identify the AM, Deputy AM, Office/Division Director, P/P/FM, TM, FR, or SME who performs walk-throughs, validations, or assessments. FMs and FRs will be excluded from overseeing financial aspects of their assigned work scopes. However, FMs will evaluate “balanced priorities” using a graded approach.
- c. Assigned Work Scope. A scope of work performed by a contractor/user organization that necessitates NNSA/NV oversight to ensure the safe performance, quality, acceptability, etc. The breadth of the work scope is defined by the responsible NNSA/NV organizational element.

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- d. Contractor/User. Any entity, under contract, subcontract, or agreement with DOE or NNSA, performing activities in connection with any facility, laboratory, or program under NNSA/NV's purview.
- e. Corrective Action. A formal action taken in response to any finding with a RAV equal to or greater than 100 that will resolve and prevent recurrence of the finding. This definition is also applicable to findings identified by external organizations and those deemed necessary by an Office/Division Director.
- f. Finding. A documented condition of performance: positive, negative, or neutral.
- g. Graded Approach. The degree of oversight and magnitude of resources expended for a particular oversight activity will be tailored to be commensurate with the relative importance of the activity with regard to mission accomplishment, programmatic importance, safety, environmental compliance, safeguards and security, magnitude of hazard, financial impact, and/or other facility-specific requirements.
- h. Hazard. A source of danger (i.e., material, energy source, or operation) with the potential to cause illness, injury, or death to personnel or damage to a facility or to the environment (without regard to the likelihood or credibility of accident scenarios or consequence mitigation).
- i. Operational Awareness. Ongoing activities and information gathering which enables an oversight organization to know how well the performing organization is meeting expectations. Sources of information include defined work scopes, costs, schedules, deliverables, authorization basis documents, daily work control activities, contractor self-assessments, occurrence reports, Lessons Learned, NNSA/NV or other assessment results, etc.
- j. Oversight. To ensure fulfillment of the overseeing organization's requirements and expectations.
- k. Oversight Activity. Refers to monitoring of a contractor/user organization's performance through conduct of a walk-through, assessment, validation, verification, etc.
- l. Risk. Refers to all potential adverse conditions defined as a product of probability and consequence, but not necessarily in quantitative terms.

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II-11 (and II-12)

- m. Self-Assessment. A planned and documented evaluation to determine the acceptability of one's own work performance (individual or organizational) using one's own assessment criteria.
- n. Validation. A planned and documented independent evaluation of the data and facts provided by a contractor/user self-assessment.
- o. Verification. A planned and documented evaluation to determine that a corrective action has been implemented as planned.
- p. Walk-Through. A documented on-site observation by an Assessor to check facility/operational conditions.

CHAPTER III

**NNSA/NV OVERSIGHT FEEDBACK AND
CONTINUOUS IMPROVEMENT PROGRAM**

1. **OBJECTIVE.** This chapter establishes the NNSA/NV responsibilities and methodology to implement the Oversight Management System continuous feedback and performance improvement process. This is the process by which oversight information acquired from various sources will be reviewed and analyzed in a disciplined manner by NNSA/NV for identification, tracking, trending, and closure.
2. **APPLICABILITY.**
 - a. This chapter applies to all NNSA/NV management and staff personnel engaged in overseeing all nonbusiness work performed under NNSA/NV's purview as required in NV M 111.XA, FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL.
 - b. The requirements of this chapter will be applicable to all NNSA/NV contractor and user organizations as set forth in the CRD, Attachment 1.
 - c. For projects in which a subpermit is issued by the Nevada Test Site Development Corporation to private nonexempt Atomic Energy Act (AEA) contractors, federal oversight will be minimal. On an annual basis, FRs with support from SMEs will conduct a review of each nonexempt AEA contractor to ensure that the safety authorization (an assessment to verify that work remains within the authorization basis) contained in the secondary REOP (the Performance-Based Management Contractor is responsible for holding the primary REOP) has not changed.
3. **REQUIREMENTS.** DOE P 450.4 establishes the core function for providing feedback and continuous improvement. NV O 450.4, assigns responsibility to Office/Division Directors to "ensure that staff members appropriately utilize the continuing core expectations to aid in developing an evaluation of the effectiveness of the NNSA/NV ISM System."

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4. PROCESS.

- a. Oversight information will be reviewed and analyzed; trends and issues identified; and resultant corrective actions tracked to closure.
- b. The NNSA/NV feedback and improvement process consists of:
 - (1) Identifying an adverse condition through an assessment/walk-through.
 - (2) Evaluating its significance, analyzing the problem, and determining its causes.
 - (3) Reporting the planned actions to the organization identifying the problem.
 - (4) Taking prompt corrective (remedial) action and documenting that action.
 - (5) Taking steps to prevent recurrence.
 - (6) Assessing other NNSA/NV processes, systems, and programs for possible applicability of the applied corrective actions.
 - (7) Verifying implementation, documenting closure, and determining effectiveness of the corrective and preventive actions.
 - Preventative actions include the tracking and trending of findings entered into the OTS to identify areas that require oversight emphasis.
- c. NNSA/NV will include contractors' self-assessment results, performance measures, and operational awareness in the identification and development of areas for potential assessments.

5. RESPONSIBILITIES.

- a. Manager. Reviews quarterly input from MSSP on the roll-up analysis to determine effectiveness of program.
- b. Management System Steering Panel.
 - (1) Reviews and analyzes the AMs' quarterly roll-up reports.

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- (2) Tracks and trends data gathered to ensure expected oversight performance and assess progress in resolving oversight findings.
- (3) Solicit emergent issues from ISM Council to compare to roll-up reports provided by the AM.
- (4) Conducts yearly independent self-assessment to validate Oversight Management System implementation.
- (5) Briefs the Executive Council semiannually on all unresolved oversight findings with a RAV of 100 or greater.

c. Assistant Managers.

- (1) Track, review, and analyze quarterly reports from the Office/Division Director.
- (2) Identify trends and emergent issues needing attention.
- (3) Compare the Office/Division Director quarterly report with V/A Plans to ensure scheduled assessments are current.
- (4) Monitor progress of closure of findings and corrective action completion.
- (5) Ensure contractual performance measures are being assessed.
- (6) Ensure the Office/Division Director receives contractor self-assessment schedule and final reports.
- (7) Develop roll-up quarterly report to MSSP based on analysis.

d. Office/Division Directors.

- (1) On a monthly basis, review the results of division's assessment activities for expected performance.
- (2) Develop roll-up quarterly report for AM.
- (3) Ensure contractors' performance measures are being assessed.

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- (4) Ensure contractor self-assessment information is disseminated within organization and included in V/A Plans.
- (5) Ensure all findings are closed in a timely manner and an NV-113 is provided to the OTS Coordinator for input of closure information into the OTS.

e. P/P/FMs, TMs, SMEs, and FRs.

- (1) Review Work Smart Standards to identify changes to requirements affecting areas of responsibility and incorporate into their V/A Plans.
- (2) Obtain applicable contractor/user self-assessment information and utilize in preparing V/A Plan.
- (3) Identify contractual performance measures associated with assigned responsibilities and incorporate into V/A Plan.
- (4) Search and analyze OTS entries monthly for applicability to assigned responsibilities.
- (5) Develop a monthly report for the Office/Division Director analyzing data from the NNSA/NV ORPS, Lessons Learned, and OTS databases, as well as contractor/user self-assessment information, performance measures, and operational awareness for trends and issues. Utilize the trends and issues in the development of future assessments.
- (6) Verify closure of findings and corrective actions as required.

6. REFERENCES.

- a. DOE O 414.1A, QUALITY ASSURANCE, dated 9-29-99, and Changes thereto.
- b. DOE G 414.1-1A, IMPLEMENTATION GUIDE FOR USE WITH INDEPENDENT AND MANAGEMENT ASSESSMENT REQUIREMENTS, dated 5-31-01.
- c. DOE G 450.4-1B, INTEGRATED SAFETY MANAGEMENT SYSTEM GUIDE, dated 3-1-01.

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- d. DOE P 450.5, LINE ENVIRONMENT, SAFETY, AND HEALTH OVERSIGHT, dated 6-26-97.
- e. NV M 111.XA, FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL, dated 9-7-00.
- f. NV P 450.4B, SAFETY MANAGEMENT SYSTEM POLICY, 8-24-00.

7. INFORMATIONAL TOOLS.

- a. Lessons Learned.
- b. Contractual Performance Measures.
- c. Occurrence Reporting.
- d. Self-Assessments.
- e. Oversight Tracking System.
- f. Work Smart Standards.

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**Attachment 1
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CONTRACTOR REQUIREMENTS DOCUMENT

For the National Nuclear Security Administration Nevada Operations Office (NNSA/NV) Oversight Program, NNSA/NV contractors and user organizations must:

1. Provide a schedule of assessments, including internal management assessments and independent assessments, in writing, e-mail, database access, or Web site.
2. Provide copies of internal appropriate management assessment and independent assessment documentation to NNSA/NV line management, as requested, to ensure that NNSA/NV has adequate information to perform its line management oversight function.

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ACRONYMS

| | |
|---------|---|
| AEA | Atomic Energy Act |
| AM | Assistant Manager |
| AMTS | AM for Technical Services |
| BMOP | Business Management Oversight Program |
| CRD | Contractor Requirements Document |
| DOE | U.S. Department of Energy |
| FR | Facility Representative |
| ISM | Integrated Safety Management |
| MSSP | Management System Steering Panel |
| NNSA/NV | National Nuclear Security Administration Nevada Operations Office |
| ORPS | Occurrence Reporting and Processing System |
| OTS | Oversight Tracking System |
| P/P/FM | Program Manager/Project Manager/Facility Manager |
| RAV | Risk Assessment Value |
| REOP | Real Estate Operations Permit |
| SME | Subject Matter Expert |
| TM | Task Manager |
| V/A | Validation/Assessment |

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Other Editions Obsolete

**U.S. DEPARTMENT OF ENERGY
NATIONAL NUCLEAR SECURITY ADMINISTRATION
NEVADA OPERATIONS OFFICE (NNSA/NV)
ASSESSMENTS AND FINDINGS DATA ENTRY FORM**

“Unclassified Nonsensitive Data Only”

| | | | | | | | |
|---|-----------------|-------------------|----------------------|----------------------------|------------------|-------------|--|
| 1. Title | | 2. Date Scheduled | | 3. Assessment Date | | 4. Assessor | |
| 5. Position Category | | 6. Site | | 7. Assessment Organization | | | |
| 8. Assessee | 9. Assessee POC | 10. Review Type | | 11. Function | | | |
| FINDING | | | | | | | |
| 12. Finding Description | | | | | 13. Root Cause | | |
| 14. Follow Up Yes <input type="checkbox"/> No <input type="checkbox"/> | 15. RAV | 16. Location | 17. Closure Official | | 18. Closing Date | | |
| 19. Comments | | | | | | | |
| 20. Closing Comments | | | | | | | |

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INSTRUCTIONS FOR COMPLETING THE NNSA/NV ASSESSMENTS AND FINDINGS DATA ENTRY FORM

Assessors will complete the NV-113, "Assessments and Findings Data Entry Form," for all internal and external assessments relating to their assigned work scope. Findings of excellence, satisfactory, or substandard performance will be recorded on these standard forms. There will be a separate form required for each finding associated with the assessment. Upon completion of the forms, provide them to the pertinent Assistant Manager's (AM) Oversight Tracking System (OTS) Coordinator. The Coordinator will enter information from the Form into the OTS. (See OTS data entry screen, Appendix D.)

Block 1--Title. Enter title or subject of assessment.

Block 2--Date Scheduled. Enter date the assessment was scheduled.

Block 3--Assessment Date. Enter actual date assessment was conducted.

Block 4--Assessor. Name of individual conducting the assessment.

Block 5--Position Category. Choose from the following:

| | |
|-------------------------|--------------------------|
| Administrative Staff | External |
| Facility Representative | Functional Manager |
| Manager/AM | Office/Division Director |
| Other | Program/Project Manager |
| Subject Matter Expert | Task Manager |

Block 6--Site. Choose from the following:

| | |
|-------|-------|
| LAO | LO |
| NLV | NSF |
| NTS | Other |
| RSL-A | RSL-N |
| STL | |

Block 7--Assessment Organization. Name of Assessor's organization.

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Block 8-Assessee. Choose from the following:

| | |
|------------|----------|
| Alpha SVCS | ARL/SORD |
| BN | DoD |
| DOE | DRI |
| DTRA | EPA |
| IT | JTO |
| LANL | LLNL |
| NNSA/NV | PAI |
| RAI | SCI |
| SLA | SNL |
| TRW | WSI |

Block 9--Assessee Point of Contact. Enter the name of the individual representing the Assessee during the assessment.

Block 10--Review Type. Choose from the following:

- Accident Investigation. Self-explanatory.
- Business Management Oversight Program (BMOP). NNSA/NV assessments associated with work covered by BMOP.
- For Cause. Review of performing office operations as a result of the identification of significant problems or adverse trends requiring immediate intervention by the oversight office to protect the government's interests.
- Walk-Through. NNSA/NV documentation of observations related to a nonstructured visit to an operation.
- Assessment. A NNSA/NV planned and structured assessment of some aspect of a work scope.
- Validation. A planned and documented independent evaluation of the data and facts provided by a self-assessment.
- Self-Assessment. A planned and documented evaluation of one's own work performance (individual or organizational).
- External Assessment. Assessments derived from external entities (i.e., DOE or NNSA, IG, GAO, etc.).
- Verification. A planned and documented evaluation of corrective action completion.

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Block 11--Function. Choose from the following:

| | |
|------------------------------------|---------------------------------------|
| Aviation | Capital Construction |
| Classification/Declassification | Electrical Safety |
| Emergency Management | Energy Management |
| Engineering and Technical Services | Environment |
| Environmental Management | Environmental Remediation |
| Facility Management | Freedom of Information Act |
| Health | Infrastructure Management |
| Intelligence | Integrated Safety Management Template |
| Management Issues | Nevada Support Facility Support |
| Nuclear Explosive Safety | Occupational Safety |
| Price Anderson Amendment Act | Privacy Act |
| Project Controls Template | Project Management |
| Public Affairs Quality | Safeguards and Security |
| Test Readiness | Waste Management Oversight |
| Work for Others | |

NOTE: This field provides additional sort capability if needed. The items in the list can be changed or additional categories added through the OTS Administrator.

Block 12--Finding Description. Describe the finding in detail. List any references such as Codes of Federal Regulations, U.S. Department of Energy Regulations, etc. Each finding is listed on a separate NV-113 regardless of Risk Assessment Value (RAV) score.

Block 13--Root Cause. Choose from the following:

| | |
|---------------------|-----------------------------------|
| Design Problem | Equipment/Material Problem |
| External Phenomena | Inattention to Detail |
| Management Problem | Personnel Error Procedure Problem |
| Training Deficiency | |

Block 14--Follow Up. If a follow up is required, place an "x" in the Yes box. If no findings, place an "x" in the No box.

Block 15--Risk Assessment Value. Use the Risk Estimation Process (Appendix C) to arrive at RAV. If no findings, a RAV code of zero will be assigned.

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Block 16--Location. Enter the room number, Nevada Test Site area, building number, cubicle number, pole number, or the like, to assist in identifying the exact site of the finding. This block may be used, if there are no findings, or may be left blank.

Block 17--Closure Official. Required for assessments with findings. For independent and management assessments, the closure official will be the cognizant management official for whom the assessment was conducted. Where the Assessor is the Manager, NNSA/NV, closure will be approved by the NNSA/NV Management System Steering Panel. For oversight of contractor/user work performance the closure official will be the Assessor's supervisor or the cognizant management official for whom the assessment was conducted.

Block 18--Closing Date. If there are findings associated with this assessment, enter the date the finding was verified as closed. If there were no adverse findings, the date of the assessment will be entered in this block.

Block 19--Comments. Enter any further comments pertaining to the assessment in this block.

Block 20--Closing Comments. Enter any comments pertaining to the follow up for verification of corrective actions to the finding. Refer to any documentation transmitted to the Assessee closing this finding.

**INSTRUCTIONS FOR OVERSIGHT TRACKING SYSTEM (OTS) DATA ENTRY,
DOCUMENTATION, MAINTENANCE, AND REPORTS**

These instructions apply to assessments conducted by National Nuclear Security Administration Nevada Operations Office (NNSA/NV) employees and entered in the NNSA/NV OTS.

1. DATA ENTRY FORM TRANSMITTAL.

- a. The official NV-113, "Assessments and Findings Data Entry Form," is available on the NNSA/NV Homepage at <http://nvhome/forms/FormsList.htm>.
- b. Instructions for completing the NV-113 form are included in NV M 220.XB, Appendix A.
- c. Assessors are to record one finding per page on the NV-113 form. If multiple Assessors participate in the assessment, each finding will include the name of the Assessor responsible for that finding.
- d. Completed NV-113 forms will be submitted, through the employee's Team Leader or Office/Division Director, to the OTS Coordinator for input.
- e. The OTS Administrator or Coordinator will input assessment information and annotate the NV-113 form with the OTS identification number and date of entry. Data entry will be completed within ten working days of receipt of the assessment form. Original forms and supporting documentation will be returned to the Assessor for retention. The OTS Administrator will maintain copies of NV-113 forms input to OTS for reference.

2. MAINTENANCE OF ASSESSMENT DOCUMENTS.

- a. Organizations are responsible for maintaining original NV-113 forms and supporting documentation for each assessment performed. Assessment files are to be maintained in such a way as to facilitate retrieval of assessment documents for review and to ensure timely follow-up and closure of findings, as appropriate.

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- b. Assessors are responsible for communicating findings to Assesseees, as appropriate. Notes pertaining to follow-up and closure of findings are to be maintained with assessment documentation.

3. REPORTS AND UPDATES.

- a. The OTS Administrator or Coordinator will provide a Quarterly Report of Open Findings Over 30 Days Old to each Office/Division Director. The Office/Division Directors will utilize this report to ensure that appropriate follow-up is conducted and that findings are closed in a timely manner.
- b. The OTS Administrator or Coordinator will provide a Quarterly Report of Findings, sorted by Root Cause, to each Office/Division Director. The Office/Directors will utilize this report to identify and apprise their Assistant Managers of significant trends and to revise/update division oversight schedules as needed.
- c. The Office/Division Directors will maintain Oversight Plans for their divisions. Copies will be provided to the Management System Steering Panel for review and comment. The OTS Administrator and Coordinators will enter plans and changes in OTS as needed.

RISK ESTIMATION PROCESS

1. INTRODUCTION.

The risk estimate rating system is designed to help Managers determine the relative importance of “findings” through a systematic, although somewhat subjective, evaluation of the risks related to the finding. Risk assessment is performed by considering the deficiency impact on eight designated independent risk categories:

- a. Public Safety and Health.
- b. Site Safety and Health.
- c. Compliance.
- d. Mission Impact.
- e. Property/Monetary Impact.
- f. Environmental Impact.
- g. Public Relations.
- h. Safeguards and Security.

Each risk category is independently scored using a two-dimensional matrix in which the rows represent the potential impacts of the deficiency and the columns represent the probability of occurrence. Using the Risk Estimation matrix for each risk assessment category, determine the impact severity and probability of occurrence. Record the resulting cell number, i.e., 3A, in the cell number column on the Risk Estimation worksheet. The corresponding number, i.e., 40, is placed in the Risk Assessment Value (RAV) column.

The two-dimensional risk matrix is used to determine a RAV for each category and then the scores are added up to determine the RAV for that deficiency. If a category does not apply, a score of zero is applied for that area.

2. REQUIREMENTS.

- a. Utilize the Risk Estimation Worksheet to determine a total RAV for each finding.
- b. Record the RAV on the Risk Estimation Worksheet (Appendix C). If no adverse finding is noted, enter zero.

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RISK ESTIMATION WORKSHEET

| Area Location _____ | Project/Facility Name _____ | |
|---|-----------------------------|-----------------------------------|
| Performance Evaluator _____ | | |
| Supervisor _____ | Specific Name _____ | |
| Telephone Number _____ | | |
| Risk Categories | Cell Number | Risk Assessment Value (RAV) |
| 1. Public Safety Risk Assessment Score | | |
| 2. Site Safety and Risk Assessment Health Score | | |
| 3. Compliance Risk Assessment Health Score | | |
| 4. Mission Impact Risk Assessment Score | | |
| 5. Property/Monetary Impact Risk Assessment Score | | |
| 6. Environmental Impact Risk Assessment Score | | |
| 7. Public Relations Risk Assessment Score | | |
| 8. Safeguards and Security Risk Assessment Score | | |
| Total RAV | | |

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| RISK ESTIMATE MATRIX | | | | | Page 1 of 5 |
|--|------------------------------|----------------------------|-------------------------------|----------------------------|-------------|
| | | PROBABILITY OF OCCURRENCE | | | |
| IMPACT SEVERITY | A | B | C | D | |
| | VERY HIGH > 1 PER YEAR | HIGH > 1 IN 10 YEARS | MEDIUM > 1 IN 100 YEARS | LOW < 1 IN 100 YEARS | |
| PUBLIC SAFETY AND HEALTH | | | | | |
| 1. Catastrophic. Immediate or eventual loss of life or permanent disability. | 4000 | 400 | 40 | 4 | |
| 2. Critical. Excessive exposure and/or serious injury or illness. | 400 | 40 | 4 | 0.4 | |
| 3. Marginal. Moderate-to-low level exposure and/or minor injury or illness. | 40 | 4 | 0.4 | 0.04 | |
| 4. Negligible. Minor exposure, no injury or illness. | 4 | 0.4 | 0.04 | 0.004 | |
| SITE SAFETY AND HEALTH | | | | | |
| 5. Catastrophic. Injuries/illnesses involving death, permanent total disability, chronic or irreversible illness, extreme overexposure (e.g., 500 rem). | 2000 | 200 | 20 | 2 | |
| 6. Critical. Injuries/illnesses resulting in permanent partial disability or temporary total disability > six months, or serious radiation overexposure (e.g., 50 rem or > 100% PEL). | 200 | 20 | 2 | 0.2 | |
| 7. Marginal. Injuries/illnesses resulting in hospitalization, temporary, reversible illnesses with a variable but limited period of disability < six months, slight overexposure (e.g., 5-10 rem), or toxic stress or exposure near limits (20-100%). | 20 | 2 | 0.2 | 0.02 | |

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| RISK ESTIMATE MATRIX | | | | | Page 2 of 5 |
|---|------------------------------|----------------------------|-------------------------------|----------------------------|-------------|
| | | PROBABILITY OF OCCURRENCE | | | |
| IMPACT SEVERITY | A | B | C | D | |
| | VERY HIGH > 1 PER YEAR | HIGH > 1 IN 10 YEARS | MEDIUM > 1 IN 100 YEARS | LOW < 1 IN 100 YEARS | |
| 8. Negligible. Injuries/illness not resulting in hospitalization, temporary reversible illnesses requiring minor supportive treatment, or toxic stress or exposures below 20% of limits (e.g., < 1 rem). | 2 | 0.2 | 0.02 | 0.002 | |
| COMPLIANCE AND BUSINESS MANAGEMENT PRACTICES | | | | | |
| 9. Catastrophic. Noncompliance with federal, state, or local laws; enforcement actions; contract requirements; or compliance actions which could result in significant fines, penalties, or fee impact. | 2000 | 200 | 20 | 2 | |
| 10. Critical. Noncompliance with federal, state, or local laws; DOE and NNSA Directives; requirements which could result in minor fines, penalties, or fee impact. Any deviation from contract requirements. | 200 | 20 | 2 | 0.2 | |
| 11. Marginal. Noncompliance with federal, state, or local laws; DOE and NNSA Directives; or contract requirements which are unlikely to result in fines, penalties, or fee impact. | 20 | 2 | 0.2 | 0.02 | |
| 12. Negligible. Deviation from good management practices or opportunities for improvement. | 2 | 0.2 | 0.02 | 0.002 | |

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| RISK ESTIMATE MATRIX | | | | | Page 3 of 5 |
|--|------------------------------|----------------------------|-------------------------------|----------------------------|-------------|
| | PROBABILITY OF OCCURRENCE | | | | |
| IMPACT SEVERITY | A | B | C | D | |
| | VERY HIGH > 1 PER YEAR | HIGH > 1 IN 10 YEARS | MEDIUM > 1 IN 100 YEARS | LOW < 1 IN 100 YEARS | |
| MISSION IMPACT | | | | | |
| 13. Catastrophic. Delay of mission accomplishment for period of six months or longer. | 1000 | 100 | 10 | 0.1 | |
| 14. Critical. Delay of mission accomplishment for period of one to six months. | 100 | 10 | 1 | 0.1 | |
| 15. Marginal. Delay of mission accomplishment for a period of one week to one month. | 10 | 1 | 0.1 | 0.01 | |
| 16. Negligible. Delay of mission accomplishment of period of less than one week. | 1 | 0.1 | 0.01 | 0.001 | |
| PROPERTY/MONETARY IMPACT | | | | | |
| 17. Catastrophic. Property or monetary loss greater than \$50 million, or waste, fraud, or abuse, or significant internal control weaknesses. | 1000 | 100 | 10 | 1 | |
| 18. Critical. Property or monetary loss greater than \$5 million but less than \$50 million. | 100 | 10 | 1 | 0.1 | |
| 19. Marginal. Property or monetary loss greater than \$500,000 but less than \$5 million. | 10 | 1 | 0.1 | 0.01 | |
| 20. Negligible. Property or monetary loss less than \$500,000. | 1 | 0.1 | 0.01 | 0.001 | |

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| RISK ESTIMATE MATRIX | | | | | Page 4 of 5 |
|---|------------------------------|----------------------------|-------------------------------|----------------------------|-------------|
| | PROBABILITY OF OCCURRENCE | | | | |
| IMPACT SEVERITY | A | B | C | D | |
| | VERY HIGH > 1 PER YEAR | HIGH > 1 IN 10 YEARS | MEDIUM > 1 IN 100 YEARS | LOW < 1 IN 100 YEARS | |
| ENVIRONMENTAL IMPACT | | | | | |
| 21. Catastrophic. Widespread, long-term or irreversible damage to the off-site environment. | 2000 | 200 | 20 | 2 | |
| 22. Critical. Widespread and short-term or localized damage to the off-site environment or long-term irreversible damage to the on-site environment. | 200 | 20 | 2 | 0.2 | |
| 23. Marginal. Moderate localized and short-term damage to the on-site environment. | 20 | 2 | 0.2 | 0.02 | |
| 24. Negligible. Minor localized and short-term damage to the on-site environment. | 2 | 0.2 | 0.02 | 0.002 | |
| PUBLIC RELATIONS | | | | | |
| 25. Catastrophic. Create unfavorable public opinion directly or indirectly resulting in major program interruption and possible lost of contracts. | 1000 | 100 | 10 | 1 | |
| 26. Critical. Create unfavorable public opinion directly or indirectly resulting in a significant program interruption. | 100 | 10 | 1 | 0.1 | |
| 27. Marginal. Create unfavorable public opinion indirectly resulting in a moderately negative impact on a system. | 10 | 1 | 0.1 | 0.01 | |
| 28. Negligible. Create unfavorable public opinion resulting in no significant negative impact. | 1 | 0.1 | 0.01 | 0.001 | |

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| RISK ESTIMATE MATRIX | | | | | Page 5 of 5 |
|--|------------------------------|----------------------------|-------------------------------|----------------------------|-------------|
| | PROBABILITY OF OCCURRENCE | | | | |
| IMPACT SEVERITY | A | B | C | D | |
| | VERY HIGH > 1 PER YEAR | HIGH > 1 IN 10 YEARS | MEDIUM > 1 IN 100 YEARS | LOW < 1 IN 100 YEARS | |
| SAFEGUARDS AND SECURITY | | | | | |
| 29. Catastrophic. Loss or compromise of Top Secret information or diversion of Category I Special Nuclear Materials (DOE Order 5633.3B). | 2000 | 200 | 20 | 2 | |
| 30. Critical. Loss or compromise of Secret Restricted Data or Weapons Data information or diversion of Category II Special Nuclear Materials. | 200 | 20 | 2 | 0.2 | |
| 31. Marginal. Loss or compromise of Confidential or Unclassified Controlled Nuclear Information or Sensitive Unclassified Information or diversion of Category III Special Nuclear Materials. | 20 | 2 | 0.2 | 0.02 | |
| 32. Negligible. Diversion of small quantity of Special Nuclear Materials. | 2 | 0.2 | 0.02 | 0.002 | |

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NATIONAL NUCLEAR SECURITY ADMINISTRATION NEVADA OPERATIONS OFFICE (NNSA/NV) OVERSIGHT TRACKING SYSTEM (OTS)

The NNSA/NV OTS is a simplified database that will identify and track information and findings identified on the Oversight Tracking Form created by Performance Evaluators. The OTS is capable of producing standard reports, as well as special reports that may be required for NNSA/NV management.

The OTS will be maintained by an appointed OTS Administrator. The OTS Administrator will be assigned to the Assistant Manager (AM) for Technical Services. The OTS Administrator will be responsible for revising/adding/deleting data base fields, archiving files, coordinating major changes with the NNSA/NV computer contractor, etc.

Data entry will be performed by an appointed individual, OTS Coordinator, representing each AM's organization. These individuals will be the only personnel allowed to enter data into the OTS with the exception of the OTS Administrator. Data entry personnel will input data from the Oversight Tracking Form that has been completed by the Performance Evaluators. Data entry personnel will have the capability of entering data, requesting and printing reports, and revising previous entries.

The OTS data entry screen appears as follows:

Microsoft Access - [Assessments: Form]

File Edit Records Maintenance Help

| ID # | Assessment Title | Scheduled | Assess. Date |
|------|------------------|-----------|--------------|
| | | | |

| Assessor | Position Category | Site | Assessment Organization |
|----------|-------------------|------|-------------------------|
| | | | |

| Assessee | Assessee POC | Review Type | Function |
|----------|--------------|-------------|----------|
| | | | |

| FINDINGS | Finding # | Finding Description | Root Cause | RAV | ARCHIVE |
|----------|-----------|---------------------|------------|-----|---------|
| | | | | | |

| Location | DOE/NV Closure Official | Closure Date |
|----------|-------------------------|--------------|
| | | |

| Input Comments | Closure Comments |
|----------------|------------------|
| | |

Record: 1 of 1
Form View

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NATIONAL NUCLEAR SECURITY ADMINISTRATION NEVADA OPERATIONS OFFICE (NNSA/NV) PROGRAM/PROJECT/TASK/FUNCTIONAL AREA VALIDATION/ASSESSMENT (V/A) PLAN TEMPLATE

This plan establishes the context by which the NNSA/NV federal staff will fulfill their oversight responsibilities for the identified area(s). This plan may be modified, with the Office/Division Director's approval, to accommodate changes in the NNSA/NV assessment needs.

The template provided primarily addresses the program/project/task assessment areas and gives an example of the level of detail required. The template may be modified to accommodate Functional Managers, Subject Matter Experts, and Facility Representatives assessments, provided the detail is sufficient that an external organization can readily identify the exact area/function being assessed. It is recommended that development of V/A Plans and the template utilized be consistent throughout an Assistant Manager's organization.

Real Estate/Operations Permit (REOP) Number (Primary):

Issue Date:

Revision Number:

Revision Date:

Expiration Date:

REOP Holder:

REOP Number (Secondary):

Issue Date:

Revision Number:

Revision Date:

Expiration Date:

REOP Holder:

Building/Structures:

Facility Owner:

NNSA/NV Project Manager:

Facility Representative:

Subject Matter Expert:

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Authorization Basis Documentation:

Oversight Schedule:

Emphasis Areas Selected from Authorization Basis: